Budgetary Management and the Effectiveness of Public Welfare Schemes

A Study on the State of Uttarakhand

SHORT SYNOPSIS

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Certificate

I hereby declare that the Short Synopsis titled "**Budgetary Management and the Effectiveness of Public Welfare Schemes**"– A Study on the State of Uttarakhand, being submitted in partial fulfilment of the requirement for the degree of Doctor of Philosophy in **Department of Management** under **School of leadership and Management** of Manav Rachna International Institute of Research & Studies, Faridabad during the academic year 2022-23. It is a bona fide record of original work carried out under the supervision of **Dr. Riddhi Khattar** and has not been submitted in full or part to any other university or institute for degree or diploma. Further, it is certified that Short Synopsis is plagiarism free and proof has been submitted.

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Abstract

In its broader perspective, the Indian governance, with clearly enshrined vision and mission, is people-oriented in its intent and content with a spirit of a welfare state. Such people-centric governance formulates *Policies* for noticeable, inclusive and sustainable development in across sectors/sub-sectors.

In a Welfare State, following the principles of fiscal federalism, the State (Central as well as Provincial Governments) assumes the responsibility of providing a minimum subsistence level of well-being to all sections of population through (often subsidized) socio-economic assistance in rural as well urban areas.

A socially inclusive and environmentally sustainable transformation is a need of the hour for the nation. The development of a region or a state as a whole is characterized by a process that leads to long-term improvement in the quality of life of people, especially the poor.

Many programs (time-barred)/schemes (open-ended) have been launched by the Central and State Governments addressing the varied needs for rural and urban development which (in today's time) needs to be Sustainable Development Goals (SDGs) compliant. However, the system incompetency in regular/ periodical monitoring after the implementation and execution of these programmes and schemes so that the accessibility of the advantages to its beneficiaries is full of disruptions where the effectiveness and sustainability of these schemes get compromised. Therefore, there is a need to review the outcome of implemented public welfare schemes on the ground level to ensure their effectiveness in terms of sustainable benefits to the target population.

The size of the basket of schemes has swelled over time, and in a way has become financially and operationally unmanageable, especially by the provincial/state governments. The budgeting of government-allocated funds for the implementation of developmental welfare schemes in different sectors goes beyond anticipated estimation.

Thus, there is a need to analyse these public welfare schemes to ensure better Budgetary Management avoiding overlapping and redundancy of the schemes.

The present study is focussed on (i) analysing the effectiveness of implemented public welfare schemes attuned to Sustainable Development Goals on the parameters of expected outcome; (ii) exploring the concrete and constructive prospects for better Budgetary management by the rationalization of many overlapped, redundant and duplicate schemes; (iii) prioritizing these schemes with viable fund allocation for visible effectiveness in terms of benefits to maximum number of targeted beneficiaries at ground level. This study proposes to undertake an analysis of the schemes of the State Government of Uttarakhand (UK).

Keywords: *Beneficiaries, Budgetary Management, Budget Outcome, Development Goals, Effectiveness, Public Welfare Schemes, Prioritisation, Rationalization, State Government, Sustainable Development Goals.*

Table of Contents

	Certificate	i
	Abstract	ii
	Table of Content	iii

S. No.	**Contents**	**Page No.**
1	Description of Broad Area	1-3
	1.1 The concept of welfare state	
	1.2 Public welfare Schemes & SDGs	
2	Literature Review	3-13
3	Research Gaps	13-14
4	Problem Statement	14-15
5	Research Objectives	15
6	Research Methodology	15-16
7	Expected Outcome of the Research	16
	References	
	Similarity Verification Report	
	Grammarly Certificate	

1. Description of Broad Area

1.1 The Concept of Welfare State

The Indian constitution, enshrined with a salient feature of *Directive Principles*, establishes the concept of a *Welfare State* in India. This provided its citizens with equal opportunities for their social well-being, and further facilitated equitable distribution of wealth for the promotion of economic growth.

In the 21st century, the changing demographic profile of India witnessed the strong potentials in young generation, besides their smarter access to globally advanced technology. People could get better access to varied information. The newer vistas of gender-neutral education skill set the faster pace of regionally equitable development. Given the digitally advanced scenario, people developed a higher degree of sensitivity for maintaining human dignity, self-respect and respect for the nation. This, in a way, led towards the fairer prospects of sustainable development across sectors/sub-sectors.

1.2 Public Welfare Schemes & SDGs

The Governments realized their goal of public welfare by spending more and voluminous resources on various welfare schemes. There are three types of Public Welfare Schemes in India

(i) Central Schemes (CS) formulated, implemented and 100% funded by central government,

(ii) Centrally Sponsored Schemes (CSS) implemented by state governments of India are largely funded by the central government with substantial fund sharing by state government,

(iii) State Government Schemes planned, funded and executed by the State government only.

In 2015, 193 member states of United Nations agreed upon a global action to transform the planet into a prosperous and peaceful global phenomenon. There was a universal quest for the Sustainable Development in respect of peaceful and equitable societies, inclusive economic growth, alleviation of poverty, safe environment and well-being of society. The development is visualized in the social, economic and environmental sectors with sustainability that could satisfy the necessities of the existing population with considerable endeavors towards building a strong, inclusive and sustainable future for the global population. Therefore, as a call for action to strengthen a global partnership for sustainable development, a comprehensive UN Agenda 2030 was announced across the world. With a spirit of global solidarity, the agenda,

including well-integrated 17 **Sustainable Development Goals (SDGs)**, 169 targets ensured global peace and prosperity in all respects by 2030.

Since the evolution of NITI Aayog in the year 2015, India initiated a phenomenal (conceptual) change in the policy planning and formulation. NITI Aayog evolved as a National Institution for Transforming India as a *Think Tank* of *Knowledg*e and *Innovation Hub*.

The harbinger approach of NITI Aayog was towards strategic growth of the nation encompassing all sectors and set the following heads focussing on people-centric welfare schemes and programs .

i. Policy and Programme Framework
ii. Cooperative Federalism
iii. Credible development plans at village level
iv. Reach out the benefit of the economic progress of the country to needy sections of society
v. Monitoring and Evaluation

NITI Aayog has been mandated for evidence-based policymaking by identifying the priority areas, promoting cooperative federalism among States and UTs supporting States and UTs to benchmark their progress . Under the 2030 Agenda of global goals (UN Goals), the SDGs attuned to national priorities, the Aayog has made intensive efforts to supervise and monitor the SDGs including health, education, economic growth, institutions, climate change and environment.

With the vision and mission of UN Agenda 2030 for human development, sustainable livelihoods, social development and environmental development, the state of Uttarakhand endeavoured as a front runner to attain these developmental goals for a visible transformation in social and economic sectors. Since 2015 approximately 221 central and state government schemes attuned to sustainable development goals, have been launched in various sectors including social, economic, agriculture, manufacturing, education, etc. However, several issues and challenges at the stage of implementation and execution of these schemes disrupt the effectiveness of the outreach of actual benefits to the target beneficiaries. The insufficient and delayed fund release, lack of coordination in executing departments, irregularity at periodical monitoring, evaluation and reporting, etc. are the major discrepancies.

As the agenda of the government evolves, so do the schemes. The growing number of schemes without rationalization leads to only token (insufficient) allocations of funds across schemes, including non-priority schemes.

It is further seen that the governments tend to continue even with schemes which may not be of their immediate priority - may be for reasons of political suitability. However,

carrying out irrelevant schemes in the budget for a longer period creates a definite blockage of budget, disturbs the envisaged outcome and creates bottlenecks in achieving their current priorities.

The government at the Centre as well as State Governments have limited resources, hence ***prioritization*** of expenditures remains a recurrent issue.

This prioritization in allocating funds can be understood by examining budgetary allocations made to various schemes during a particular year/over years in the past. The ***prioritization premises on rationalization of schemes***.

If the schemes are rationalised and prioritised, it certainly can improve the financial management of the ongoing schemes in terms of sufficiency and continuity of flow of funds.

The present study proposes to undertake an analysis of the schemes of the State Government of Uttarakhand (UK).

2. Literature Review

A socially inclusive and environmentally sustainable transformation has remained the need of the hour for every state of the nation for a considerable period in the recent past. There have been innumerable research endeavours, highlighting snags in the operational smoothness of the conduct and implementation of the government schemes, both at the centre and at the state level. Various studies have captured different salient aspects of varied schemes, representing different difficulty levels in specific macro sectors. Important studies and their findings have been summarized as under:

Jha R. (2014), in his paper '*Welfare Schemes and Social Protection'* focuses on performance indicators concerning schemes for socio-economic protection as well as social welfare schemes.

When measured on parametric indicators of the Asian Development Bank (ADB), his paper cites that India outperformed many countries in implementing and executing schemes in socio-economic sectors in the Asia-Pacific region.

The study finds that the Indian government even with the lesser budgetary outlay for social protection and economic development-oriented welfare schemes and programs, has shown better performance vis-a-vis financially lower and middle group countries in the Asia pacific region spending more, and yet unable to satisfy the specified performance indicators.

However, the analytical approach of the author draws the attention of the policymakers and iterates that there is a need to address specific constraints i. e. (a) insufficient fund allocation laced with administrative approval complexities; and (b) lapses in implementation and performance evaluation of social welfare schemes.

This, according to the researcher, raises uncertainties about adeptness and effectiveness of schemes w.r.t well-intended socio-economic welfare of deprived section of the population of the country.

Other researchers have also evaluated various benefits of Public Distribution System (PDS) and the National Rural Employment Guarantee Scheme (NREGS) based on data obtained through secondary sources **Khera, R. (2011)**. The study finds that the beneficiaries can avail the benefits of these schemes by linking the Unique Identity Number with PDS/ NREGS. The study concludes that there are operative distractions while practically fulfilling several demanding conditions to get the marginal benefits of these government schemes. Also, a poorer understanding and lack of awareness about the function of PDS / NREGS surfaced as an important pointer in the study.

In other studies, **Panakaje N. (**2023) found that such schemes have been quite useful, particularly in transforming Religious Minorities including. The focus here has been on how the effectiveness of government schemes for minority communities can be gauged!

The minority communities in the study included Christians, Sikhs, Buddhists, Muslims, Parsis and Jains. While analyzing the impact of multitudes of schemes initiated by central and state governments, the expected outcome remained far from any satisfactory accomplishment concerning the target beneficiaries. The effectiveness of these government schemes gets compromised because the beneficiaries lacked requisite awareness, sufficient participation and affirmative perception about the schemes.

Further, the study envisaged that the socially deprived, economically backward and educationally underprivileged minority communities used only a few selective government schemes. The observations show that all the states in India are not benefitted uniformly from these schemes. This study portrayed the demographic profile of the beneficiaries and the extent of impact of their awareness, perception and utilization of Government scheme on their welfare and development.

Choudhury M. et. al. (2019) in their study on '*Experiences with Government Sponsored Health Insurance Schemes in Indian States: A Fiscal Perspective'* evaluated Government Sponsored Health Insurance Scheme (GSHIS) i.e. Ayushman Bharat – Pradhan Mantri Jan Arogya Yojana (PMJAY). With the introduction PMJAY the fiscal burden on states mounted higher and led to a consequential reduction in expenditure on various other health

facilities. The focussed objective of select schemes was defeated on account of insufficient spending in other schemes with a set bunch of eligible beneficiaries. In the then given fiscal context, the targeted beneficiaries were approximately 10 crores. The beneficiaries were the underprivileged households across the country. The study ascertained that

i. the lower level of spending capacity overburdened the states with insignificant and unbearable fiscal load.
ii. the fiscal burden arose due to the higher magnitude of the expenditure on GSHIS; and
iii. there were peculiar consequences of not spending reasonable / viable amounts on other health sector schemes.

The study further noticed that the government consistently expanded higher amounts of expenditure despite apparent fiscal constraint. The study analyzed some of the earlier sizeable GSHIS that were implemented in Indian states. The PMJAY aimed at up-scaling the previous schemes. Concerning assessing the impact of the scheme on (a) extended financial protection; and (b) general effectiveness of primary objective of GSHI insurance schemes GSHIS, the study ascertained that the beneficiaries had to incur extra expenditure for in-patient-department treatment.

Bijoy K. (2017) observes the recent developments in banking and insurance and focuses on the government policies and schemes such as MGNREGA, DBT and PMJDY which encourage financial inclusion to transform the financial system and promote the Indian economy. The study contemplates the present structure of accessible opportunities for financial inclusion for people, especially those with lower incomes and ascertains that such people cannot access mainstream conventional financial products such as bank accounts, credit, remittances and payment services, financial advisory services, insurance facilities, etc. Based on primary research conducted in six Indian states, and backed further by the secondary information published in Government reports, the study reviews post-PMJDY status.

Here it finds that PMJDY has increased the number of Bank accounts through diluting KYC requirements for marginalized and deprived citizens, but transactions in such accounts are just negligible. A good number of accounts is deaf/dormant for want of sufficient income for the account holder. Most of the rural India doesn't have access to banks, and even if they have after PMJDY they don't have enough income and awareness/financial literacy to use the financial services. The study points out the feeble backward links in the current structure, and recommends that policymakers concentrate on the creation of job opportunities for all to have complete financial inclusion in India.

Jena P.R. (2013) in his paper on "Improving Public Financial Management: Opportunities to Move Forward" analyzed Public Financial Management Reforms that have been undertaken to improve the efficiency of government spending. The study points out that India's growth rate of more than 9% has declined due to global financial crisis of 2008-09 (UNDP, Human development report 2007-08) and fiscal stress has been building up since then. More than 300 million people remained below poverty line (11th Five Year Plan; 2007-12). The progress in achieving improvements in human development has been unimpressive as India lies behind several other Asian countries). The observations of study focus on the importance of Public Financial management in India, and highlight the reform measures taken by Indian government. This study endorses the strengthening of the Public financial Management institutions while boosting up efficiency and effectiveness of government schemes and programs.

Sarabu V.K. (2023) worked on the Welfare Schemes and Programmes in Telangana State. He appreciates the efforts of the Telangana Government for initiating several welfare schemes such as Rythu Bandhu (the first direct farmer investment support scheme in India), Rythu Beema (the Farmers Group Life Insurance scheme). Kalyana Lakshmi and Shaadi Mubarak are expected to provide financial assistance to farmers, women, and families, Mission Bhagiratha and Haritha Haram aim to provide access to clean drinking water and promote forestation respectively. He states based on officially documented facts collected for the 12th five-year plan that a balanced economic growth would reduce inequality and provide socio-economic security to poor and under-privileged down trodden section of society. He argues in favour of welfare schemes and programmes implemented by the government, and finds that the aim of such schemes is largely to (a) help the marginalised communities; (b) improve access to education and health facilities; (c) make better the livelihood of rural population; and (d) many more similar objectives.

Yet in his critical assessment he asserts that the government schemes can get defeated in achieving their predefined objectives on account of the challenges at ground level reality plethora of problems such as lack of adequate literacy, lack of awareness of the schemes, brokers' intervention, vote polarisation, mismanaged systems, rent-seeking behaviour, etc. exist as major bottlenecks in executing these schemes. He further asserts that together with the procedural simplification at operations there also ought to be enough social mobilisation in the form of community engagements/participation for sustained benefits.

Meena S.K. (2021) measured effectiveness of Financial Assistance under Government sponsored schemes for the development of SC/ST in the TSP Area of Southern Rajasthan.

This study encompasses the tribe-dense of Rajasthan characterized by glaring issues such as illiteracy, poverty, unemployment. To overcome these problems, different developmental programmes like Prime Minister Rozgar Yojana (PMRY), Nehru Rozgar Yojana (NRY), Pop Scavenger Scheme and Indira Awas Yojana (IAY) have been launched. This research assesses the effectiveness of the government-sponsored schemes related to providing financial assistance to SC/ST of the TSP area of southern Rajasthan to improve their living standard. The study reveals on the basis of statistical analysis that few government schemes such as Swarozgar Credit Card, Rashtriya Krishi Bima Yojna and Swarna Jayanti Gram Swarozgar Yojna have had visible impact on the standards of living of SC/ST communities and other respondents in the geographical region of South Rajasthan.

Nevertheless, the respondents, completely dependent on agriculture, are deprived of availing the benefits of these schemes due to illiteracy and lack of awareness. There are various banks working in the geographical area, but the people show inhibition in moving to banks for financial assistance.

Oxford Policy Management (2022), commissioned by the World Health Organization (WHO) presented its report on assessing the effectiveness of targeting mechanisms under PMJAY. A detailed analysis of potential inclusion and exclusion errors in two select states in India (Haryana and Uttarakhand). This study identifies the intended population and targets duality of errors i.e., inclusion and exclusion errors, further segregating into two components – errors of design and error of implementation. The occurrences of these errors were either at the identification and finalisation of intended beneficiaries' list according to specified rules or at the stage of administrative implementation, where the eligible beneficiaries, identified via design, are provided registration under the programme. The survey report of the research reveals that most of the households in both states were familiar with the PMJAY program but not aware of their eligibility rules.

This often resulted in these households not being registered under PMJAY. Moreover, for both Haryana and Uttarakhand, the study identifies and reaches the intended population following the overall policy objective for efficient and effective utilization of the resources, it finds a higher share of intended beneficiaries excluded by design. While estimating the target, it finds discrepancies either by not reaching the intended beneficiaries or by the inclusion of the un-intended beneficiaries.

In his study **Barany D.** (2016) examines the unanimously consented socio-political chronicles about the new concept of a welfare state in USA that was previously monetarily demanding, unapproachable and disparaging according to the archival records. His study draws

attention of (i) policy makers; and (ii) legislative political bodies towards the progressive approach for taking the reformative measures in the context of financial restructuring and well-coordinated execution of welfare programmes. Through the references of secondary sources, he explores/visualises the concept of a progressive welfare state with an influential autonomy to exercise its administrative and financial powers. He further supports the decentralisation of powers that can provide an autonomous status to state and local government for better concern with respect to policy formulation, reformative planning of execution, requisite financial support and well-administered and supervised implementation of welfare programs.

In this study, poverty and inequality have been observed as the major problems that include social and political demography.

Gurtoo A. (2014) produces a critical analysis of the implementation of welfare schemes in India post-1990s. The study preludes decentralisation as strategically effective system of governance that caters the efficiency and accountability of implemented welfare schemes for not only beneficiaries but other stakeholders explicitly active in political domain. The study also investigates other complexities in decentralisation due to socio-economic changing aspects at the local level where the effectiveness of execution depends on local politicians or their coalition. This paper percolates the strategy of governance for the effective operation of government welfare schemes for the benefits of all related stakeholders.

Kochar A. (2008) reveals the facts on the basis of a quantitative analysis of the organisational decentralisation of government welfare schemes. It also ensures the effective implementation and execution to offer the actual benefits to the targeted underprivileged and needy population of villages. The study further investigates logically the enormity of benefits of running schemes and finds the actual picture very different from the facts.

Due to socio-economic diversities and ineffective political strength, the influential and privileged people were taking enticement (incentives, inducement) instead of making available the accessibility of welfare 'programs'/schemes' benefits to intended beneficiaries who therefore were at the mercy of elite people of the village for achieving the benefits of the scheme. Finally, this research attempts to draw the attention of policymakers to address this issue and make provisions to prevent such corrupt practices that disrupt the effectiveness of welfare schemes at the ground level.

With reference to several government schemes and projects publicizing financial inclusion namely Pradhan Mantri Jan Dhan Yojana (PMJDY), Atal Pension Yojana, Pradhan Mantri Suraksha Bima Yojana, Bharat Interface for Money (BHIM), Electronic Benefits Transfer (EBT)/Direct Benefit transfer, JAM, e-KYC, smart panchayats, agriculture credit, Buy

Now Pay Later(BNPL), Digital Banks, Central Bank Digital Currency(DBDC), Robotic Automation with AI, Blockchain Technology, Neo banks, Kisan Credit. **Kadaba**, **M**. **et. al.** (2023) advocate in their study, the financial inclusion by involving financial services of RBI, NABARD, NBFC. It further emphasizes integrating financial services within the larger digital ecosystem. This is expected to accelerate the intent of the financial services in terms of better accessibility for the unbanked population, which is larger in number. It also insists on familiarising with Self-Help-Groups (SHGs), JLG and farmer interest groups in agriculture and non-agriculture sectors.

As regards constraints affecting eradication of poverty, income equality, more equitable society (with good health and well-being) it requires creating better opportunities for women in rural areas. This would address the need for higher levels of social and economic growth in pursuit of attaining sustainable development goals. The quantitative and qualitative approach of the study reflects strong trust in government welfare projects, schemes and programs that are structured with the objective of progressive growth of the economy and social development with achievable sustainability for future generations. The analytical study summarises that the fusion of financial services with digital technology i.e. *fintech* would stimulate the breakneck operation of Government schemes for the benefit of intended beneficiaries and other related stakeholders.

Kapur A. & Shukla R. (2021) advocate through their analysis in the study on *Public Finance Management and Data Availability for Nutrition Financing in India* about the adequacy of allocation of funds available for government health schemes. The study indicates that there ought to be a strong and effective role of 'Public Financial Management' system for raising resources and releasing funds for health schemes/mission.

The authors mention the health schemes of the Government of India namely Holistic Nourishment (POSHAN) Abhiyaan and the Pradhan Mantri Matru Vandana Yojana (PMMVY), a Maternity Benefit Scheme and bring out the facts on the basis of broad analysis that there are disturbing loopholes in the government planning, estimation of funds and also there is lack of effective relationship between additionally incurred expenses and visibly improved service delivery. Other observations across nutrition intervention have been noted and reveal serious concerns i.e. missing data on expenditure in the public domain viz a viz costs and allocation of funds for nutrition interventions.

Analysed data reflects insubstantial planning, absence of statistical tools to ascertain unit, time and output costs, unsystematic estimation of intended population and delayed release of funds. This analysis draws attention to the *Public Finance Management System* towards becoming more proficient and better delineated in costing and budgeting, and further expanding

the outreach of nutrition intervention with 100 percent target groups. The author recommends better rationale for Public Financial Management System for utilisation of allocated funds while focusing on the needs, priorities and absorptive capacity of target groups. Further, the study suggests PFM system to take a justifiable approach towards (a) time management (while allocating funds); (b) supply chain management; and (c) efficient and easily accessible public service delivery systems.

Koh, et. al. (2021). This study captures Korean population and the authors refer to articles titled (a) *Our Common Future*, published by the World Commission on Environment and Development (1987); and (b) *17 Sustainable Development Goals.* The concept of Sustainable development was introduced to meet the needs of existing people and shift the values for the future communities promoting welfare , consistent social inclusion and creating equal opportunities *(SDGs) and 169 targets at 70th UN Assembly* and shows a concern for the 11th goal "Sustainable Cities and Communities" which defines '*to make cities and human settlements inclusive, safe, resilient, and sustainable*'.

The study reveals the fact that National governments need the essential support of state governments to attain the sustainable goals of 2030 global agenda. The author suggests that the states need to give priority to rational and consistent approach to sustainable development while formulating state policies. The major focus of the study is on the implication and outcome of SDG indicators thereby appearances of sustainability in implemented policies in coordination with provincial and local governments.

Tillin L. (2022) traces India's concept of *Welfare State* and *Federalism* through his inquisitive and comparative study and finds a distinguishing feature of regional autonomy that exists in state governments to determine and implement *social policy/ies* with respect to welfare schemes. On the basis of cluster analysis, the author finds that the *Fragmented Multi-Party System* (1989-2014) positioned the state governments under the influence of *Political Regionalization* and *Economic Liberalization*. Subsequently, the states commenced formulation of their social welfare policies laced with new welfare provisions, responsive administration and implementation of centrally designed welfare schemes.

Asher, et. al. (2015) through '*An Analysis of Selected Pension and Health Care Initiatives for Informal Sector Workers in India'* observe demography of India in terms of an aging population and analyze government-run schemes and programs aimed at providing financial security and better health care, especially among employees working in informal sectors. The study captures the process of inclusion of the intended

beneficiaries, and consistent and sustainable contribution of fiscal resources for the effective and measured outcome.

A systematic networking for (i) implementation; (ii) technology-enabled accessibility for the target population; and (iii) efficient fund releasing are among important (suggestive) outcomes of the study indicating at improving the effectiveness of government initiatives.

Lahariya C. (2018) With a policy-led enhanced approach, easily accessible and reasonably priced healthcare services in India, the author concludes speedy and efficient implementation of a particular scheme 'National Health Protection Scheme' for accomplishing the anticipated outcome. This study reviews the government's other schemes in agriculture sector. Some select agriculture schemes are analysed from the perspective of their objectives, implementation process and effectiveness. The analysis throws light on the initiatives of these government schemes that aim at important verticals i.e. infrastructural improvement, sustained growth of agriculture products, financial inclusion and upliftment of farmers' communities. However, the review does not deny the ground-level fact that the identified (vulnerable) farmers are still far away from getting the actual benefits of these schemes. Therefore, in this analysis, some mandatory practices such as administered execution, consistent observation and periodical supervision together with instituted monitoring mechanisms are recommended for effective and significant impact on the target groups.

Gulati A. G. (2012) This paper focuses on the pattern of government expenditure on welfare schemes and simultaneously the effectiveness of their outcome whether achieved as higher as the funds incurred on these schemes. The study points out the lag i.e. the absence of proper reporting system about the performance and effectiveness of Government welfare programs/schemes and therefore advocates for executing an efficient evaluation system for reporting the factual performance and effectiveness of implemented government programs/schemes.

According to ***Rajagopal*** (***1996***), the rural communities are characterized by mass poverty, low literacy and wages, high unemployment, poor nutrition and health status.

Panda, S., & Majumder, A. (2013) found on the basis of some case studies that a very small number of rural people are getting benefitted from these centrally sponsored programme under the National Rural Employment Guarantee Act (NREGA). The study concludes that the government development programs/welfare schemes are less effective due to their continuity for undefined periods and unmanageable coverage of geographical area.

Tripathi G. et.al. **(2023)** address the agriculture sector schemes in their study which is the most contribute for nation's gross domestic product and further economic growth. The author attempts to draw attention of the state as well as the central government for implementation of all sponsored schemes so strategically that could deal with ground-level problems of farmers for their sustainable upliftment w.r.t. soil fertility, crop productivity, financial support to cope with the unpredictable situations such as crop failure due to climate change and market fluctuations, etc. and ultimately a sustainable livelihood for farmers. It is concluded that despite the implementation of a big basket of schemes with very larger objective to handle the social, economic and environmental susceptibility of the most vulnerable population of farmers, there are lapses and delays of robust monitoring and evaluation of schemes' performance after implementation and application at ground level across the target group.

In the first meeting of the Governing Council of **NITI Aayog** (**2015**), the **Union Cabinet** (**2016**) chaired by the Prime Minister, accepted the major recommendations of the Sub-Group of Chief Ministers on the Rationalization of Schemes.

Gazette (**2020**) mentions 31 departments in the Government of Uttarakhand (GoUk). **The budget** (**2019-20**) mentioned a total allocation of INR 48,663 crores in its schemes. **Finance Department** (**2020**) of the GoUK mentions 2,248 schemes which are distributed across 105 Departmental Heads under various Ministries.

Economic Survey (**2021-*22***) mentioned Employees Provident Fund Organization (EPFO) reporting formalization of rural jobs in the post-pandemic period. To counter the pandemic impact for the unorganized labour in rural areas, the allocation of funds to *Mahatma Gandhi National Rural Employment Guarantee Scheme* (MGNREGS) was already increased.

Summary

A systematic literature review of the related topic is summed up with an outcome of broad database i.e. research papers, articles, analytical reviews retrieved (collected) from Google Scholar and Government Reports.

The findings of rigorous analysis reveal the facts related to social policy formulation compatible with sustainable development, fund allocation, resource management and the execution and effectiveness of public welfare schemes on the target population of the nation/state. A few papers visualize the concept of a welfare state which provisions income equality, equitable society with good health and well-being and more opportunities for minorities.

The other study recommends a vibrant Public Financial Management (PFM) System for justifying the utilisation of allocated funds for public welfare schemes focusing on the needs, priorities and absorptive capacity of target groups.

In view of the 2030 Agenda of global (U N) goals (17), Jaekyung Koh highlights the 11th goal of SDGs i.e. "Sustainable Cities and Communities" which aims at making '*cities and human settlements inclusive, safe, resilient, and sustainable*'. Further he recommends the states to give priority to rational and consistent approaches to sustainable development while formulating state policies. The major focus of the study is on outcomes of SDG indicators capturing sustainability in implemented policies, coordinated with provincial and local governments.

The synthesised literature review concludes that the aims and objectives of all the government schemes are thoroughly *people welfare oriented* right since their formulation stage but the perceptible benefit doesn't percolate down to the targeted population (beneficiaries) while such schemes are implemented. Economically deprived section of people is usually ignorant (at time ill-informed) about the government schemes, hence a sizeable number of people are deprived of the tangible benefits of these schemes due to their illiteracy, lack of capacity to access the installations manning such schemes, typical terms and conditions, lengthy process of documentation, the intervention of middlemen, rent-seeking behaviour (at times) of officials, political intervention, etc.

As an outcome of the literature review the budgetary management of government-allocated funds for the implementation of developmental and welfare programs & schemes in different sectors go beyond anticipated estimation.

System incompetency on regular/periodical monitoring after implementation and execution of these programmes and schemes so as the accessibility of the advantages to its beneficiaries is full of disruptions.

This study steps ahead to find feasible and viable suggestions for Budgetary management of fund allocation with better possibilities for efficient resource management. It is intended to achieve predefined expected outcomes of public welfare schemes aligned with sustainable development goals and further increase their effectiveness at ground level for target beneficiaries of the state of Uttarakhand.

3. **Research Gaps**

i. There is limited work in the area of the compatibility of Public welfare Schemes with SDGs.
ii. There are limited primary studies that analyze the ground challenges in the implementation of schemes.
iii. The available literature does not throw enough light on Budgetary management of fund allocation for the schemes through a rationalized and prioritized approach by identifying the overlapped, redundant and less effective schemes.
iv. Most of the analyses in this area are available in Government/UN Reports, therefore,

there is a need for independent research to analyze the effectiveness of schemes at ground level.

The suggestive intervention mechanism could be

(a) a combination of schemes for a viable budget;

(b) a rationalized and prioritized approach while identifying and implementing select schemes such that uninterrupted flow of funds may be maintained for SDG-compliant public welfare schemes.

4. Problem Statement

Hence, this study, which would undertake

i. a review of Public welfare schemes (CSS & State) of Uttarakhand w.r.t. 4th SDG-Quality Education i.e. to ensure inclusive and equitable quality education and promote lifelong learning opportunities for all, and 8th SDG 'Decent Work and Economic Growth' i.e. to promote inclusive and sustainable economic growth , full and productive employment and decent work for all.

ii. an analysis of the effectiveness of schemes on targeted population.

iii. a rigorous analysis of a few centrally sponsored and state-sponsored welfare schemes in the state of Uttarakhand.

iv. a critical review of the existing (overlapped and dormant) schemes from the point of view of their (schemes') rationalization and prioritization in terms of their corresponding budgetary allocations.

The scope of the research work shall be limited to:

i. Identifying the implemented public welfare schemes attuned to Sustainable Development Goals;

ii. Identifying overlapped, redundant and duplicate schemes w.r.t. similar aims and objectives;

iii. Devising a sustainable methodology for rationalization and prioritization of schemes specific to GoUk;

iv. Prioritizing of relevant and performing schemes with feasible and viable fund allocation for making them more effective at ground level;

v. Documenting draft guidelines with specified parameters on criteria such as overlaps and duplication considering attributes of relevance, effectiveness, efficiency and sustainability in relation to similar Centrally Sponsored/Central Sector Schemes; conducting a detailed analysis of all schemes across 3 sectoral (economic, social and environmental) samples and devising suitable guidelines for budgetary allocation purposes.

5. Research Objectives

The objectives of the present research are:

i. To identify the Public welfare schemes (CSS & State) of Uttarakhand that are in compliance with SDGs (4^{th},8^{th})

ii. To analyze the effectiveness of Public welfare schemes of Uttarakhand w.r.t. attaining their respective SDGs;

iii. To analyse Budgetary management in terms of overlapping and redundancy of the Public welfare schemes (CSS & State) of Uttarakhand ;

iv. To recommend a framework for improving the efficiency and effectiveness of budgetary management by way of rationalization and prioritization of schemes.

6. Research Methodology

The methodology for the present study shall largely include an exploratory approach with mixed methods.

The specific approach to present study may include as under:

First phase

i. would be based on secondary data as the schemes are launched by the state government;

ii. would capture variables such as attainment of schemes' goals (*poverty alleviation, income, expenditure, consumption pattern, job opportunity,* etc.), together with budgetary allocations for specific schemes; and

iii. Secondary data in the tabulation format will be analyzed and examined by using statistical techniques.

Second phase

i. would incorporate focused group discussions/interviews with different stakeholders.

ii. would be based on primary data collection through sample surveys;

Target groups from the school education system -

Upper Primary Schools 6^{th}-8^{th} Std. (Teachers, Students)

Secondary & Snr Secondary schools (Management, Teachers, Students)

Sample size - Respondents-150-200

Methods- Structured Questionnaire, Focused Group Discussion, Structured and unstructured Interviews.

Third Phase

i. The inferences will be derived from the results of statistical/quantitative analysis.

ii. would utilize apt statistical software tools such as SPSS, G-Power, Data tab, etc. to apply statistical techniques like factor analysis; regression/multiple regressions, other basic statistics wherever deem fit.

In view of the above, the tentative methodology is presented as under;

a) would entail a purposive sample survey approach and would largely be exploratory;
b) samples/data would be collected from such sectors with the maximum number of schemes having obvious overlapping;
c) data collection would require approximately 12 months followed by analysis of data, which would take approximately 06-08 months; and
d) above would follow the preparation of suitable guidelines for rationalization; prioritization and consequential budgetary allocations.

7. Expected Outcome of the Research

a) Availability of a better manageable set/basket of SDGs compliant schemes in select sectors of the GoUk;
b) These development schemes could be beneficial to people of varied natures, and abridge the geographical inequalities and social-cultural gaps at the grassroot level .
c) The current research/study focuses on a variety of awareness programmes to educate the target population/respondents about the accessibility of public welfare schemes benefits for improving the quality of life of people.
d) On Rationalization of Schemes (a) merger of schemes with similar objectives and having same development goals (b) discontinue schemes that have fulfilled or lost their relevance; (c) close down schemes with minimal impact (d) restructure schemes based on value-chain analysis; (e) rationalize schemes overlapping with centrally sponsored schemes.
e) Availability of implementable guidelines for rationalization, prioritization and budgetary allocations with better Budgetary Management and more effective Public welfare schemes for the State GoUk;
f) The expected outcome of this study is aimed at generating fresh insights among policy makers, researchers, scholars besides other stakeholders.
g) The study is expected to throw light on the new parameters which could facilitate a more feasible allocation of funds by the governments across various schemes in different sectors.
h) The study would produce a base literature for further research on the impacts of welfare schemes.
i) The final outcome of this study may result in more effective public welfare schemes with better attainment of sustainable development for a larger section of population.

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Budgetary Management and the Effectiveness of Public Welfare Schemes

A Study on the State of Uttarakhand

SHORT SYNOPSIS

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Abstract

In its broader perspective, the Indian governance, with clearly enshrined vision and mission, is people-oriented in its intent and content with a spirit of a welfare state. Such people- centric governance formulates *Policies* for noticeable, inclusive and sustainable development in across sectors/sub-sectors.

In a Welfare State, following the principles of fiscal federalism, the State (Central as well as Provincial Governments) assumes the responsibility of providing a minimum subsistence level of well-being to all sections of population through (often subsidized) socio-economic assistance in rural as well urban areas.

A socially inclusive and environmentally sustainable transformation is a need of the hour for the nation. The development of a region or a state as a whole is characterized by a process that leads to long-term improvement in the quality of life of people, especially the poor.

Budgetary Management and the Effectiveness of Public Welfare Schemes A Study on the State of Uttarakhand

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